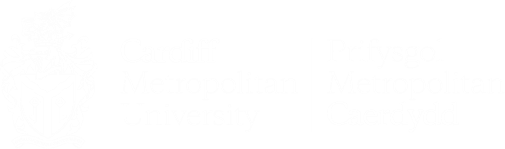
Scheme of Delegation

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Scheme of Delegation

Introduction

This Scheme of Delegation records where authority rests within Cardiff Metropolitan University (theUniversity) for decisions made in the name of, or on behalf of, the University. It forms part of the governance documentation that explains how the University operates and the powers of its various decision -making groups.

A Table of Authority and Delegations is attached at Schedule 1. No such schedule can be absolutely comprehensive, but it identifies where the authority for specific categories of decision lies. It also provides a frame of reference through which questions about other types of decision may be resolved.

The schedule below only identifies responsibility for the final (‘ratification’) stage of decision-making, and not, for example, responsibility for formulating strategic, policy and business proposals.

While the Board of Governors is able to delegate responsibility for decision making to other bodies or individuals, the Board is ultimately accountable for the decisions made. There will be assurance mechanisms to reassure the Board how the delegations are being used, and the Board retains the ability to review decisions if necessary.

Framework and principles of delegation

1. As the governing body of the University the Board of Governors (the Board) is responsible for:

* promoting the values of the University and its commitment to equality, diversity and inclusion;
* the determination of the educational character and mission of the University and for oversight of its activities, including through the development of appropriate strategic plans;
* oversight of compliance with all relevant strategy guidance and funding obligations;
* the effective and efficient use of resources, the solvency of the University and the Corporation and for safeguarding their assets;
* approving annual estimates of income and expenditure and the monitoring of financial performance against these estimates;
* approving annual accounts;
* the appointment, assignment, grading, suspension, dismissal and determination of the pay and conditions of service of the Vice-Chancellor, and the holders of senior posts as the Board may determine after consultation, where appropriate, with the Vice-Chancellor;
* the appraisal of the Vice-Chancellor;
* the setting of a framework for the pay and conditions of service of all other staff; ensuring that there are in place policies and procedures for dealing with staff performance, discipline, dismissal and grievance;
* Ensuring the establishment and monitoring of systems of control and accountability, including financial and operational controls, risk assessment and risk appetite (in compliance with the Committee of University Chairs Higher Education Audit Committees Code of Practice);
* ensuring that there are in place terms and conditions for students and policies and procedures for dealing with student discipline, complaints and academic appeals;
* ensuring that the Students’ Union operates in a fair and democratic manner and is accountable for its finances;
* ensuring freedom of speech within the law is guaranteed on University premises for staff and students of the University and for visitors;
* ensuring academic freedom within the law;
* ensuring as far as is reasonably practicable, the health and safety of employees, students and others affected by the University’s activities;
* creating a governance structure for the University, subject to the University’s Articles and Instrument of Government;
* monitoring the effectiveness of the Board and its Committees; and
* the custody and use of the Seal of the University.

1. In accordance with the University’s Articles of Government, the Board may establish committees for any purpose or function and may delegate its powers to those committees. The Board may also delegate powers to the Chair of the Board or to the Vice-Chancellor. However, it cannot delegate decisions on the following matters, and these will be reserved for decision by the Board:

* the determination of the educational character and mission of the University;
* the approval of the University’s financial forecasts, annual estimates of income and expenditure and final statements in respect of each financial year;
* ensuring the solvency of the University and the Corporation and the safeguarding of their assets;
* the appointment or dismissal of the Vice-Chancellor and Principal or the University Secretary;
* the amending or revoking of the University’s Articles or passing an amendment to the Instrument of Government; and
* the varying or the revoking of the powers in this Scheme of Delegation.

1. In accordance with the University’s Articles of Government, the Board has established the following committees:

* Audit Committee (which considers internal and external audit reports, and leads on reviewing risks)
* Governance and Nominations Committee (which considers all governance of the Board)
* People, Health and Wellbeing Committee (which considers matters relating to people and culture elements of Strategy 2030)
* Remuneration Committee (which considers pay within the University)
* Finance Committee (which considers financial management, solvency, income generation, entreprenuership and corporate sustainability)
* Strategic Planning and Performance Committee (which monitors progress against the strategy and is responsible for academic and research assurance matters)

1. The Academic Board, as the academic authority of the University, shall oversee the academic activities of the University in line with the Articles. This includes the development of the academic dimension of the strategic planning arrangements and recommendations to the Vice-Chancellor for the resources needed to support them. The Academic Board will have such functions, categories of membership and terms of office as are approved by the Board.
2. The University is a charity and is regulated by the Charity Commission for England and Wales. The governors are trustees of the charity and have specific governance responsibilities as set out in the Statement of Primary Responsibilities (link to be added). Medr (link to be added) is the main regulatory body for all universities in Wales, but the governing body is also required to follow guidance from the Charity Commission (link to be added), and adheres to UK sector wide codes of practice. The Privy Council approves any major changes to the University’s Articles and Instrument of Government.
3. As the chief executive and senior academic officer of the University, the Vice-Chancellor is responsible to the Board within the framework laid down by:

* the University’s Articles and Instrument of Government,
* the requirements of Medr Terms and Conditions of Funding,
* the Committee of University Chairs (CUC) Higher Education Code of Governance,
* the University’s Financial Regulations and this Scheme of Delegation for the operational management of all aspects of the University’s work.

The Vice-Chancellor may delegate, and in practice has delegated, responsibility for specific aspects of the University’s management to members of the University Executive Group (or to other members of management as appropriate). However, the Vice-Chancellor retains ultimate responsibility for their work.

1. The Vice-Chancellor is designated by the Board to be the Accountable Officer for the University and reports to Medr on behalf of the University. As such, they are personally responsible to the Board for ensuring compliance with Medr Terms and Conditions of Funding and providing Medr with assurances to that effect.
2. The members of the University Executive Group are responsible to the Board (through the Vice-Chancellor) for the leadership and overall management of their respective portfolios in accordance with their job descriptions and the policy and Financial Regulations of the University. They may delegate responsibility for specific aspects of management to the relevant management team but retain ultimate responsibility for the management of their portfolio (link to be added).
3. The leadership roles within the governing body and the University Executive Group are defined here (link to be added).
4. Should any matter or decision arise which is within the delegated authority of an individual or body but to which a sensitive, political, reputational or other similar issue is attached or suspected, the decision should be referred to the appropriate (normally higher) level and, ultimately, to the Board; this should be related to level of reputational risk and accountabilities. If there is any doubt as to the appropriate decision-making level, advice should be sought from the University Secretary.
5. Where responsibilities are delegated, the individual or group with delegated authority will provide assurance to the final authority through agreed assurance mechanisms; the assurance mechanisms should be related to the level of risk involved and should be described in the Scheme of Delegation.
6. This Scheme of Delegation will be reviewed as and when necessary and at least annually by the Governance and Nominations Committee and any proposals for amendment presented for approval by the Board.

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Schedule 1  
TABLE OF AUTHORITY AND DELEGATIONS

|  | **ACTION** | **FINAL AUTHORITY** | **DELEGATED AUTHORITY  (IF ANY)** | **DELEGATION LIMITS, CONTEXT  AND PROCESS** |
| --- | --- | --- | --- | --- |
| **1** | **GOVERNANCE, MANAGEMENT AND CONTROL** | | | |
| 1.1 | Amendments to the University’s Articles and Instrument of Government | Board of Governors |  | Board of Governors can approve proposed amendments however final approval must be via Welsh Government and then Privy Council. |
| 1.2 | Amendments to the Scheme of Delegation | Board of Governors |  | Any changes to the Scheme of Delegation will be approved by the Board of Governors through the agreed process, following recommendations from the Governance and Nominations Committee, who will monitor the Scheme of Delegation. |
| 1.3 | Amendments to Standing Orders | Board of Governors |  | Any changes to Standing Orders will be approved by the Board of Governors through the agreed process, following recommendations from the Governance and Nominations Committee, who will monitor their use and operation. |
| 1.4 | Execution of responsibilities of the Chancellor | Chancellor | Pro-Chancellor | Ceremonial responsibilities of the Chancellor can be delegated to other individuals so nominated by the Vice-Chancellor. |
| 1.5 | Execution of responsibilities of the Vice-Chancellor subject to the University’s policies and procedures | Vice-Chancellor | University Executive Group member | Depending always on the issue in question a University Executive Group member may exercise such functions of the Vice-Chancellor as may be appropriate, either at their request, in their absence or during a vacancy in the post of the Vice-Chancellor. |
| 1.6 | Execution of Responsibilities of the other University Executive Group members | University Executive Group members | Relevant directors/senior staff (‘nominated deputy’) | The nominated deputies may exercise any of the functions of the University Executive Group member either at their request, in their absence or during a vacancy in the post of the University Executive Group member.  Alternatively, in the absence of a nominated deputy or during a vacancy in the office, another senior member of staff chosen by the Vice-Chancellor may exercise the functions of the University Executive Group member. |
| 1.7 | Execution of responsibilities of Academic Board | Academic Board | Either the Vice-Chancellor, University Executive Group member, or designated Academic Board committees, in accordance with the terms of reference of the Academic Board. | Academic Board members will seek advice from other colleagues across the University as required in order to inform their decisions - but their responsibilities as members of the Academic Board are not delegated.  Academic Board will provide assurance to the Board both through papers to Board Committees, as well as through summary reports provided to the Board of Governors.  All University committees report through to the Academic Board. They will provide summary reports to the Academic Board, as well as minutes. |
| 1.9 | Execution of responsibilities of Board of Governors | Board of Governors | Chair of the Board  Vice Chair of the Board  Board Committees as specified | The Chair may act on behalf of the Board in matters that would not normally merit discussion at a Board meeting (such as the signing of routine documents and detailed implementation of matters already agreed by the governing body). Such decisions should be reported to the Board at its next meeting.  The Board of Governors may also delegate certain responsibilities to its Committees, as specified within the terms of reference of the committees, which may establish task and finish groups. These Committees will be reviewed and agreed each academic year but at a minimum will include an Audit Committee and a Remuneration Committee. Each Committee will have terms of reference approved by the Board of Governors.  The Chairs of Committees have delegation from Board to agree meeting dates and to consider membership of committees following governor appraisals. |
| 1.10 | Execution of responsibilities of the Clerk to the Board | Head of Governance and Clerk to the Board |  | The Head of Governance and Clerk to the Board has nominated Governance Officers to exercise the administrative and ancillary functions of the Clerk to the Board on their behalf as appropriate. This includes such work as support to governors for items like expenses and accommodation and organising committee support. |
| 1.11 | Use of the University Seal | Board of Governors | University Secretary or Head of Governance and Clerk to the Board | The use of the seal is described in the Instrument and the process will be described separately in the Standing Orders. |
| 1.12 | Terms of reference and membership for University committees | Vice-Chancellor |  | Academic Board and University Committees and Groups confirm their terms of reference at the start of the academic year. These are then submitted to the parent committee for approval. |
| 1.13 | Effectiveness reviews of the Board of Governors and sub-committees of the Board | Board of Governors | Governance and Nominations Committee | Effectiveness reviews of the Board of Governors are the responsibility of the Board, facilitated by the Head of Governance and Clerk to the Board. The Chair is ultimately accountable for the review and the implementation of the recommendations and delegates monitoring of performance to the Governance and Nominations Committee.  Effectiveness reviews of academic governance should be reported to the Board by the Academic Board but the responsibility for the arrangements for such reviews lies with the Academic Board. |
| 1.14 | Register of Interests and Related Party Transactions | University Secretary | Head of Governance and Clerk to the Board | The University Secretary will collate and update the relevant register of interests, published on the University website at the start of each academic year, following completion of the Fit and Proper Person and Related Party Transaction form. |
| 1.15 | University activity involving material adverse reputational risk to the University | Board of Governors | Audit Committee | This includes corporate policies, novel or contentious matters, matters involving a high risk of legal challenge and any formal association/affiliation/partnership with, in the view of Academic Board, the potential for material adverse reputational risk to the University. |
| 1.16 | Decisions related to work in Schools of the University | Vice-Chancellor | Deans | Local delegations will be described in School schemes of delegations to be approved by the Vice-Chancellor and stored in a central Sharepoint site. |
| 1.17 | Health and Safety of employees, students and others affected by the University’s activities | Board of Governors | Vice-Chancellor | The Vice-Chancellor delegates responsibility for health and safety internally to Level 2 and 3 staff within the University, and the responsibilities of these roles are set out in the University Health and Safety Policy. |
| **2** | **STRATEGY AND POLICY DEVELOPMENT** | | | |
| 2.1 | Approval of University mission and vision statements, strategic plans and associated strategies | Board of Governors |  | The approval process will be led by the Academic Board on behalf of the Vice-Chancellor. Decision routes for specific policies will be articulated in the Policy Framework. Approval routes for specific strategies will be agreed as part of the development of the strategy.  The documents to be approved will be routed via staff consultation (where relevant), engagement with other relevant university committees and by discussion and approval at Academic Board, and onwards to the relevant Board Committee (as per the terms of reference) either for approval or to note. |
| 2.2 | Approval of operational strategies, policies and decisions not related to those in 2.1, and significant amendments to corporate policies that impact on the key terms and conditions or the environment for staff and students | Vice-Chancellor | Academic Board | The approval process will be led by the Academic Board on behalf of the Vice-Chancellor. Decision routes for specific policies will be articulated in the Policy Framework. Approval routes for specific strategies and any other decisions will be agreed as part of the development of the strategy.  Minor changes to operational strategies and policies to be approved by the Vice-Chancellor through Chair’s action. |
| 2.3 | Approval of Accounting Policies | Board of Governors | Audit Committee | Annual review of accounting policies related to Annual Financial Statements. |
| 2.4 | Approval of Financial Regulations and key financial policies | Board of Governors | Finance Committee | The approval process will be led by the Chief Officer Resources. |
| 2.5 | Approval of the Annual Financial Forecasts | Board of Governors | Finance Committee | The approval process will be led by the Chief Officer Resources. |
| 2.6 | Approval of Annual Financial Statements and the Annual Sustainability Assurance Report (ASSUR) statement for submission to Medr. | Board of Governors | Audit Committee | The approval process will be led by the Chief Officer Resources.  The Audit Committee will consider the financial statements in the presence of the external auditor and recommend the statements to the Board for approval. The ASSUR statement is derived from the financial statements and submitted at the same time. |
| 2.7 | Approval of Risk Management Policy and Risk Appetite and Tolerance Statement | Board of Governors | Audit Committee | Routed via the Academic Board, which acts as the University risk committee, and the Audit Committee. The Board sets the risk policy and appetite and the Audit Committee is responsible for monitoring this. The delegations are set out in the terms of reference of the Audit Committee. |
| **3** | **APPOINTMENTS, DISMISSALS, AND STAFFING MATTERS FOR SENIOR STAFF AND AUDITORS** | | | |
| **3.1** | **APPOINTMENTS** | | | |
| 3.1.1 | Appointment of Chancellor | Board of Governors |  | The Vice-Chancellor will recommend suitable candidates for consideration and endorsement by the Governance and Nominations Committee. |
| 3.1.2 | Appointment of Chair, Vice-Chair(s) | Board of Governors |  | These appointments require Board approval, supported by the University Secretary and Head of Governance & Clerk to the Board, with external advisors as appropriate. |
| 3.1.3 | Appointment of Vice-Chancellor | Board of Governors |  | This appointment requires Board approval, supported by relevant senior staff and external advisors as appropriate. |
| 3.1.4 | Appointment of University Secretary | Board of Governors |  | This appointment requires Board approval, supported by relevant senior staff and external advisors as appropriate. |
| 3.1.5 | Appointment, suspension and removal of members of the Board of Governors | Board of Governors |  | As stipulated in the relevant Standing Orders and by reference to the terms of reference of the Governance and Nominations Committee. |
| 3.1.6 | Severance payments (namely any payment that an employee is not contractually entitled to) for the Vice-Chancellor. | Board of Governors | Remuneration Committee | The Remuneration Committee may propose severance payments for approval by the Board of Governors. |
| 3.1.7 | Severance payments where the payment to the individual is £100,000 or more, and those for staff earning a basic FTE salary of £100,000 or more per annum (up to but not including the Vice-Chancellor). | Board of Governors | Remuneration Committee | The Remuneration Committee exercises its delegated authority within the Policy Framework approved by the Board and amended from time to time. Any approvals under this delegation will be done in line with the Senior Staff Severance Policy, which is approved by the Board, and will be reported to the Board. |
| 3.1.8 | Severance payments for staff earning a basic FTE salary of less than £100,000 or less per annum (save for severance payments where the payment to the individual is £100,000 or more). | Vice-Chancellor | Director of People and Culture for payments of up to £50,000. | The Director of People and Culture may propose severance payments of more than £50,000 for the approval of the Vice-Chancellor.  All such payments shall be in line with the University’s applicable policies such as the Severance Policy, as amended from time to time. |
| 3.1.9 | Appointment of Deans of School | Vice-Chancellor | University Executive Group members | Following University recruitment processes. |
| 3.1.10 | Appointment of Directors of Professional Services | Vice-Chancellor | University Executive Group members | Following University recruitment processes. |
| 3.1.11 | Appointment of ‘senior posts’ as per the University’s Articles of Government | Board of Governors |  | The University’s Articles of Government currently describe Board of Governors responsibility for ‘senior posts’ At its meeting on 8 July 2021 the Board of Governors defined ‘senior posts’ to be the Vice-Chancellor, Deputy Vice-Chancellor, and University Secretary.  Supported by the Vice-Chancellor, the University Secretary and the Director of People and Culture as appropriate. |
| 3.1.12 | Appointment of other Level 2 staff | Vice-Chancellor |  | Supported by the University Secretary and Director of People and Culture.  The Senior Staff Appointment Process should follow University recruitment processes as approved by Remuneration Committee. |
| 3.1.13 | Appointment of Clerk to the Board of Governors | University Secretary |  | The University’s Articles of Government require the University Secretary to appoint a dedicated officer as Clerk to the Board. |
| 3.1.14 | Conferment and revocation of titles of Professors and Readers | Board of Governors | Vice-Chancellor | The Professorship and Readership Committee reports to the Academic Board. |
| 3.1.15 | Appointment of members of the Board of Governors’ Committees | Board of Governors | Governance and Nominations Committee/Chair of the Board | In accordance with the terms of reference of the Governance and Nominations Committee. |
| 3.1.16 | Appointment of internal auditors. | Board of Governors |  | The Audit Committee is responsible for considering the provision of internal audit services in detail and will make a recommendation to the Board of Governors on the appointment of the preferred provider. |
| 3.1.17 | Appointment of external auditors. | Board of Governors |  | The Audit Committee is responsible for considering the provision of external audit services in detail and will make a recommendation to the Board of Governors on the appointment of the preferred provider. |
| 3.1.18 | Approval of the annual external audit plan and determination of the fee | Board of Governors | Audit Committee |  |
| 3.1.19 | Approval of the annual internal audit plan | Board of Governors | Audit Committee |  |
| 3.1.20 | Approval of permissible non-audit services completed by the University appointed external auditors | Audit Committee | Chair of the Audit Committee, where necessary. | In situations where such approval is time-critical for the University, decisions can be taken via Chair’s approval. In such cases, any approvals will be reported by the Chair to the next meeting of the Audit Committee. |
| **3.2** | **SUSPENSION** | | | |
| 3.2.1 | Suspension of the Vice-Chancellor | Chair or Vice Chair of the Board of Governors. Where the Chair or Vice Chair are incapacitated or otherwise unavailable, the Chair of the Audit Committee and, if incapacitated or otherwise unavailable, the Chair of the Finance Committee. |  | All such action taken by the Chair or the Vice Chair must be reported to the Board within two working days.  In accordance with the Staff Disciplinary Policy addendum for senior posts. |
| 3.2.2 | Suspension of Senior Post-Holders (as designated by the Board) | Vice-Chancellor or, if this is not appropriate, the Chair or Vice Chair of the Board of Governors. |  | All such action taken by the Chair, the Vice Chair, or the Vice-Chancellor must be discussed with and agreed by the Remuneration Committee to approve the action (either through an emergency meeting or via e-mail if necessary) and reported to the Board within two working days or as soon thereafter as practicable.  In accordance with the Disciplinary Procedure appropriate for Senior Post Holders. |
| 3.2.3 | Suspension of other senior staff who are not designated as Senior Post-Holders by the Board | Vice-Chancellor |  | In accordance with the Staff Disciplinary Policy. |
| **3.3** | **DISMISSAL** | | | |
| 3.3.1 | Dismissal of the Vice-Chancellor | Board of Governors |  | In accordance with the Staff Disciplinary Policy appropriate for senior post holders. |
| 3.3.2 | Dismissal of Senior Post-Holders | Board of Governors | Chair of Board | In accordance with the Staff Disciplinary Policy for senior post holders, for any senior post holders other than the Vice-Chancellor.  The Chair of the Board may ask another independent governor to act as commissioning officer; this should be the Vice Chair or Senior Independent Governor. |
| 3.3.3 | Dismissal of other senior staff who are not designated as Senior Post-Holders by the Board | Vice-Chancellor |  | In accordance with the Staff Disciplinary Policy for senior staff. |
| **3.4** | **APPEALS AGAINST DISMISSAL** | | | |
| 3.4.1 | Appeal by the Vice-Chancellor | Board of Governors |  | In accordance with the Staff Disciplinary Policy for senior post holders. |
| 3.4.2 | Appeal by a Senior Post-Holder | Board of Governors | Chair | In accordance with the Staff Disciplinary Policy for senior post holders. |
| 3.4.3 | Appeal by other senior staff who are not designated as Senior Post-Holders by the Board | Vice-Chancellor |  | In accordance with the Staff Disciplinary Policy. |
| **4** | **APPOINTMENTS, SUSPENSION, DISMISSALS AND STAFFING MATTERS FOR ALL OTHER STAFF** | | | |
| **4.1** | **SUSPENSION** | | | |
| 4.1.1 | Suspension of staff | Vice-Chancellor |  | In accordance with the Staff Disciplinary Procedure. |
| 4.1.2 | Appeal against warning | Vice-Chancellor |  | In accordance with the Staff Disciplinary Procedure. Staff should write to the Director of People and Culture if appealing against a warning. |
| **4.2** | **DISMISSALS** | | | |
| 4.2.1 | Dismissal of all other staff during probation | Vice-Chancellor |  | In accordance with the Manager’s Guide to Staff Probation. |
| 4.2.2 | Dismissal of all other staff after completion of probation | Vice-Chancellor |  | In accordance with the Staff Disciplinary Procedure. Staff should write to the University Secretary if appealing against a dismissal. |
| **4.3** | **APPEALS AGAINST DISMISSAL** | | | |
| 4.3.1 | Appeals by all other staff during probation | Vice-Chancellor |  | In accordance with the Manager’s Guide to Staff Probation. |
| 4.3.2 | Appeals by all other staff after completion of probation | Board of Governors | Vice-Chancellor or their delegate. | All such actions are at all times to be in accordance with the University’s People Services policies. |
| **4.4** | **OTHER STAFFING MATTERS** | | | |
| 4.4.1 | Determination of the pay and conditions of staff (within the framework set by the  Governing Body) other than staff under the remit of Remuneration Committee | Vice-Chancellor | Academic Board | The information on pay and conditions for all staff other than those under the remit of the Remuneration Committee will be shared with that committee to inform their discussions. |
| 4.4.2 | Award of Honorary Degrees and Fellowships | Board of Governors | Governance and Nominations Committee (Honorary Fellowships), Academic Board (Honorary Degrees) | Governance and Nominations Committee will be informed of decisions on Honorary Degrees. The Board of Governors will be informed of all decisions. |
| 4.4.3 | Remuneration for the Vice-Chancellor and other University Executive Group members reporting directly to the Vice-Chancellor | Board of Governors | Remuneration Committee | The Vice-Chancellor will make recommendations to the Remuneration Committee, save for their own position. Delegations are outlined in the committee terms of reference. |
| **5** | **STUDENT MATTERS** | | | |
| 5.1 | Student complaints procedure | Board of Governors | Academic Board | In accordance with the University’s Articles of Government, the Academic Board is responsible for creating and publicising regulations of the University for dealing with student complaints and academic appeals. Amendments are reported to the Board of Governors.  Assurance is provided through the Strategic Planning and Performance Committee which is the Board Committee responsible for academic assurance. |
| 5.2 | Student disciplinary procedure | Board of Governors | Academic Board / Vice-Chancellor | In accordance with the University’s Articles of Government the Board is responsible for ensuring that the University has procedures in place for the admission, suspension or expulsion of students and for dealing with student complaints and academic appeals.  The Vice-Chancellor is responsible for the maintenance of student discipline and the exclusion, suspension and/or expulsion of students on disciplinary grounds, including on grounds of academic misconduct, and for implementing decisions to expel students for academic reasons.  Assurance is provided through the Strategic Planning and Performance Committee which is the Board Committee responsible for academic assurance. |
| 5.3 | Award of academic titles | Academic Board |  | The procedures for the award of qualifications and honorary academic titles sit with Registry, which is responsible to the Academic Board.  Assurance is provided through the Strategic Planning and Performance Committee which is the Board Committee responsible for academic assurance. |
| 5.4 | International recruitment matters | Board of Governors | Academic Board | The International Committee will report to Academic Board, with a remit that includes Transnational Education, international recruitment, global outreach projects, outward mobility, and issues relating to student visa licence.  Assurance is provided through the Strategic Planning and Performance Committee which is the Board Committee responsible for academic assurance. |
| **6** | **BUDGETARY AND FINANCIAL MATTERS** | | | |
| 6.1 | Ensuring the University maintains robust systems of internal financial control and accountability, including risk management and value for money | Board of Governors | Audit Committee | The process will be led by the Chief Officer Resources.  The Audit Committee may seek assurance from other Committees in fulfilling its responsibilities, as per the committee’s terms of reference. |
| 6.2 | Appointment of the University’s bankers | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources in accordance with Treasury Policy and/or the Financial Regulations within the University where relevant. |
| 6.3 | Approval for the opening and closing of bank accounts | Vice-Chancellor | Chief Officer Resources | In accordance with the University’s Treasury Management Policy. |
| 6.4 | Approval of bank signatories | Vice-Chancellor | Chief Officer Resources | In accordance with the University’s Treasury Management Policy. |
| 6.5 | Determination of detailed budgets within overall approved framework of the 5-year plan | Vice-Chancellor (via Academic Board) |  | The process will be led by the Chief Officer Resources in accordance with the Financial Regulations within the University where relevant. |
| 6.6 | Approval of the Treasury Management Policy, including the Establishment of borrowing limits and facilities | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources. |
| 6.7 | Management of endowments and other investments | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources in accordance with Treasury Policy and/or the Financial Regulations within the University where relevant. |
| 6.8 | Policies on investment of endowments and other assets | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources in accordance with Treasury Policy and/or the Financial Regulations within the University where relevant. |
| 6.9 | The establishment, monitoring and closure of University subsidiary or spin out companies, and oversight of their financial results and the impact on the University | Board of Governors | Finance Committee | The process is led by the Chief Officer Resources.  Where a subsidiary or spin out company is required for a Transnational Education purpose, the Academic Board member responsible will lead the process. |
| 6.10 | Write-off of bad debt | Board of Governors | Chief Officer Resources | The Financial Regulations give the Chief Officer Resources the authority to write off all debts. There is an annual reporting requirement to Finance Committee which is satisfied by the provision of the Debtors Report (ref section 6.4 of the Financial Regulations). |
| 6.11 | Approval of changes to fees, including tuition fees | Board of Governors | Vice-Chancellor (via Academic Board) | The process is led by the Chief Officer Resources.  The overall fee income levels are presented to the Board within the annual financial plan. |
| 6.12 | Acceptance of financial donations and endowments and tangible assets | Board of Governors | Academic Board | The process is led by the Chief Officer Resources as per the Financial Regulations. |
| 6.13 | Approval or orders for works, goods and services, other than as specified in Section 7 or 8 below | Chief Officer Resources | Head of Procurement | Further details set out in the Procurement Policy which is part of the University’s Financial Regulations.  The delegation to the Chief Officer Resources is subject to the necessary approvals being in place as per Section 7. |
| 6.14 | Approval of non-purchase order payments by exception | Chief Officer Resources | As delegated by the Chief Officer Resources |  |
| 6.15 | Management of the University’s responsibilities and obligations in respect of pension schemes | Board of Governors | Strategic oversight by the Finance Committee | The process is led by the Chief Officer Resources. |
| 6.16 | Strategic Monitoring of the University’s overall financial position within the parameters of the Financial Strategy and Plan | Board of Governors | Finance Committee | The process is led by the Chief Officer Resources. |
| 6.17 | Appointment of the University’s Insurers | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources in accordance with the Financial Regulations. |
| 6.18 | Appointment of Investment Advisers | Board of Governors | Finance Committee | The process will be led by the Chief Officer Resources in accordance with the Financial Regulations and Treasury Management Policy where relevant. |
| **7** | **CAPITAL PROJECTS, ESTATES AND IT MATTERS** | | | |
| 7.1 | Approval of Projects (Capital and Operational Expenditure Requests) | Board of Governors | –  The University’s Investment Board will review all capital and operational expenditure requests over £10k. These will be referred to the Chair of Finance Committee for approval of proposed expenditure over £500k.  Any proposed expenditure on IT related matters will require the approval of the Director of Digital and Library Services.  Any proposed expenditure on Estates related matters will require the approval of the Executive Lead for Sustainable Campus Transformation.  The University’s Scheme of Delegation details specific arrangements in place covering authorisation limits for income and expenditure in sections 6 and 7 and Annex 4 of the Scheme. | Typically, the expenditure that is referred to the Chair of Finance Committee is above the £500k threshold as the threshold relates to the spend over the contract period, not the annual spend. |
| 7.2 | Acquisition and Disposal of property and land (including Leasehold) | Board of Governors |  | All such transactions would need to have a strategic intent and be approved by the Board. |
| 7.3 | Leases, agreements for leases, easements, transfers, statutory agreements and nomination agreements, and other contracts relating to University property (excluding residential accommodation) | Board of Governors | Chief Officer Resources and Executive Lead for Sustainable Campus Transformation | At present there is not a limit to the delegated authority for leases etc relating to University property, but the Financial Regulations state that all such arrangements must be authorised by both the Executive Lead for Sustainable Campus Transformation and the Chief Officer Resources.  This includes nomination agreements with residential property providers under which the University is committed to releasing rooms held on its behalf by a certain date of incurring the liability of the rent of those room if they cannot be filled. |
| 7.4 | Issuing of contracts in relation to University owned residential accommodation | Vice-Chancellor | Director of Commercial Services | The Director of Commercial Services will seek appropriate legal advice on the terms of such agreements. |
| **8** | **CONTRACTS, AGREEMENTS AND LICENCES** | | | |
| **8.1** | **Purchase of goods and services** | | | |
| 8.1.1 | Approval of academic partnerships (recruiting) in the UK and Overseas | Academic Board |  | Academic Quality and Standards Committee retains responsibility for UK further education partnerships and reports to Academic Board. TheInternational Committee would confirm academic partnerships overseas and the Transnational Education annual partnership renewals, with approval by Academic Board.  Assurance is provided through the Strategic Planning and Performance Committee which is the Board Committee responsible for academic assurance. |
| 8.1.2 | Approval of partnerships (non-recruiting) in the UK | Board of Governors |  |  |
| 8.1.3 | International partnerships (non-recruiting) | Vice-Chancellor |  | Vice-Chancellor approves MoUs and University Executive Group members approves TNE agreements. |
| 8.1.4 | Approval of student exchange partnerships | Academic Board | Delegate nominated by the Academic Board | Vice-Chancellor, as delegate of the Academic Board, signs off student exchange agreements after due diligence and approval by relevant Schools (as part of the Turing and outward mobility schemes) |
| 8.1.5 | Approval of decisions related to sponsorships | Board of Governors | Up to £25k one University Executive Group member  Up to £500k two University Executive Group members (including VC)  Over £500k Board of Governors |  |
| 8.1.6 | Approval and signing of contracts for purchases of services or otherwise which are to be executed as a Deed (where not otherwise specified in this Scheme) | Board of Governors | Any two members of the Board of Governors (usually including the Chair)  One member of the Board of Governors (usually including the Chair) and the University Secretary | The Deed will be sealed and signed by any two members of the Board of Governors or by the signature of any one member of the Board of Governors and the University Secretary. |
| 8.1.7 | Execution of contracts and agreements which are not purchases and which are not to be executed as a Deed (where not otherwise provided within the Financial Regulations) | Vice-Chancellor |  | All contracts of this nature should be routed via the University Secretary who will seek legal advice where required. |
| 8.1.8 | Execution of contracts and agreements for the purchase of goods, services or works. | Vice-Chancellor | Head of Procurement | Contracts for goods etc follow procurement tendering exercise. The tender is authorised in accordance with expenditure limits. |
| 8.1.9 | Signing of Research projects that require University sponsorship and approval by an external body. | Pro Vice-Chancellor Research and Innovation or Designated Authority in line with funders requirements, terms and conditions |  | The limits, context and process differs in line with funders requirements, but the default is that this is managed by Research & Innovation Services. |
| 8.1.10 | Signing of research and grant applications | Pro Vice-Chancellor Research and Innovation or Designated Authority in line with funders requirements, terms and conditions |  | The limits, context and process differs in line with funders requirements, but the default is that this is managed by Research & Innovation Services. |
| 8.1.11 | Acceptance and signing of research grants award | Pro Vice-Chancellor Research and Innovation or Designated Authority in line with funders requirements, terms and conditions |  | The limits, context and process differs in line with funders requirements, but the default is that this is managed by Research & Innovation Services. |
| 8.1.12 | Acceptance and signing of knowledge exchange and innovation grants and contracts | Pro Vice-Chancellor Research and Innovation or Designated Authority in line with funders requirements, terms and conditions |  | The limits, context and process differs in line with funders requirements, but the default is that this is managed by Research & Innovation Services. |
| 8.1.13 | Procurement/provision of legal advice for the University | University Secretary | Delegates listed in University guidance | The provision of legal services and the staff authorised to seek legal advice is set out in guidance and will be kept under review. The guidance forms part of the procurement process for legal services. |
| **9** | **MEDIA AND INFORMATION MATTERS** | | | |
| 9.1 | Authorisation of media releases | Director of Marketing, Communications and Student Recruitment | Head of Communications | It may also be appropriate, depending on the context, to seek approval from the Vice-Chancellor. |
| 9.2 | Approval of the use of the University Crest / Logo | Director of Marketing, Communications and Student Recruitment | Head of Brand and Marketing | It may also be appropriate, depending on the context, to seek approval from the Vice-Chancellor and the University Secretary. |
| 9.3 | Classification of information under the Freedom of Information Act (University Publication Scheme) | Head of Compliance | Information and Data Compliance Officer | The Head of Compliance will also consult with external legal advisers as required together with any other relevant colleagues.  The Head of Compliance may delegate to a member of the Compliance Team, authority in their absence. |
| 9.4 | Application of sanctions relating to individual access to University library services, computing facilities, and access to University systems and networks | Director of Digital and Library and Services | Head of Digital Support Services  Head of Digital Infrastructure Services  Head of Library Services | There will need to be consideration of debtor sanctions that restrict Digital and Library Services access which are applied to the student account by the Finance Department. |